Functional Series 100 – Agency Organization and Legal Affairs
ADS 102 – Agency Organization

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ADS 102 – Agency Organization

102.1   OVERVIEW

The purpose of this ADS chapter is to establish parameter-setting policies for USAID's organization structure and to define and describe the nomenclature used to identify organization levels and structures. The chapter defines the policies for establishing and changing USAID **organization units** consistent with the reengineering principles of managing for results, **customer** focus, **teamwork** and participation, empowerment and accountability, and valuing diversity. It also describes USAID's organization coding and abbreviation systems.

102.2   PRIMARY RESPONSIBILITIES

*a.   The Administrator (A/AID) approves USAID **organization changes** involving major functional transfers between **Bureaus**/**Independent Offices** and changes that establish/eliminate an organization reporting directly to the Administrator. In addition, the Administrator has responsibility for approving the establishment of all new Missions.

b.   The Inspector General (IG) plans, reviews, and approves USAID Office of the Inspector General (IG) organization changes, in consultation with the Bureau for Management, Office of Human Resources, Policy, Planning and Information Management **Division** (M/HR/PPIM).

c.   The Assistant Administrator, Bureau for Management (AA/M) approves organization changes of USAID/Washington (USAID/W) organization units that impact on other Agency offices; counsels the Administrator on organizational matters within the purview of the Administrator; and provides day-to-day executive direction and leadership on Agency program and management operations.

AA/M represents the Agency before the Office of Management and Budget (OMB), other Federal agencies, Congress, and the public on matters pertaining to Agency program and management operations.

*d.   The Assistant Administrator, Bureau for Policy and Program Coordination (AA/PPC) leads the re-invention and reform of Agency programming policies and procedures as set forth in the ADS 200 series and ensures that these policies and procedures contribute to continuous improvement in Agency program operations.

AA/PPC represents the Agency before the OMB, other Federal agencies, Congress, and the public on matters pertaining to Agency programming policies and procedures.

*e.   The Bureau for Management, Office of Human Resources, Policy, Planning and Information Management Division (M/HR/PPIM) prepares Agency policy on personnel and organization management; assesses organizational effectiveness and efficiency in relation to the Agency reengineering core values and general organizing principles; and

establishes objective performance standards and measures to judge effectiveness and efficiency.

M/HR/PPIM provides operational guidance and assistance to organization units regarding personnel staffing and position options; reviews and acts on position and staffing changes to the extent required by law, regulation, and collective bargaining agreements; and develops reference standards on position job content, nomenclature, and grade structure to assist Agency managers and employees in using common vocabulary to establish, compete, and fill personnel positions.

M/HR/PPIM also assesses Agency organizational performance in personnel and position management in relation to the reengineering core values; provides operational guidance and assistance to organization units on interpreting Agency policies and other applicable guidelines on organizational arrangements; and assesses whether changes by Agency organization units are in compliance with Agency organizational parameters.

Finally, M/HR/PPIM facilitates the resolution of issues related to organization design when they occur; certifies prior to implementation that any proposed organization change satisfies relevant terms of agreements with employee bargaining units; provides information to Bureaus on when their proposed organization changes can be implemented; and ensures that Bureaus adhere to position/employment levels established by Bureau for Management, Office of Budget (M/B).

f.   The Bureau for Management, Office of Budget (M/B) establishes Agency and Bureau position/employment levels and advises on and monitors the adoption of these position/employment levels.

g.   The Bureau for Management, Office of Financial Management (M/FM) ensures that proposed organization numbers are valid in the USAID accounting system and establishes geographic/country codes, which are components of organization numbers.

h.   The Bureau for Management, Office of Administrative Services (M/AS) provides advice and support regarding overseas management support issues.

*i.   The Office of Equal Opportunity Programs (EOP) establishes Agency policies on equal employment opportunity and enforces related laws, Executive Orders, and regulations. Prior to implementation, it analyzes proposed organization changes for their impact on workforce diversity.

*j.   Bureau and Independent Office Administrative Management Staffs (AMSs) provide advice and support on workforce and organization change issues and counsel the Regional/Central Bureau and Independent Office Assistant Administrators on organizational matters within the purview of the Assistant Administrators. The AMS plays an integral role in ensuring organizational effectiveness and efficiency based on an understanding of Bureau programmatic needs and its ability to link these needs to organizational/staffing requirements. The AMS is responsible for ensuring the

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organizational effectiveness/efficiency of its Washington and overseas organizations in terms of the Bureau's/Independent Office's approved strategic plans/objectives and programmatic requirements. The AMS ensures that any Bureau organization proposals, whether from Washington or overseas, adhere to Bureau-allocated workforce levels as established/authorized by M/B, and ensures that these levels are appropriate for the conduct of USAID programs and strategic objectives. In addition, it serves as a quality control checkpoint and assesses the accuracy of submissions for organization changes.

*k.   The Bureau/Independent Office originating an organization change or establishing a new Mission is responsible for obtaining the proper approvals prior to implementation of the new organization. When initiating organization changes, any organization unit below the level of Regional/Central Bureau or Independent Office, working through the appropriate AMS, is responsible for informing, consulting with, or seeking approval from M Bureau offices. **(See 102.3.10)** All organizations, working through the appropriate AMS, are required to assess the applicability of OMB Circular A-76 and NSDD-38 requirements and ensure compliance, as appropriate. **(See Mandatory References, OMB Circular A-76 and NSDD-38)** In addition, originating organizations are responsible for consulting with M/HR/PPIM regarding the proposed change, including the likely impact of organizational plans on other USAID Offices. They are responsible for consulting with their Assistant Administrator (AA) and AMS, as well as M/HR, regarding personnel and position changes planned by the organization unit. AAs are required to obtain from M/B any necessary position and employment ceiling approvals.   When establishing a new Mission, Bureau Assistant Administrators are responsible for obtaining approval from the USAID Administrator as well as obtaining all Department of State clearances, prior to submission of materials to M/HR/PPIM for review, authorization, and implementation.

102.3   POLICY AND PROCEDURES

The statements contained within the .3 section of this ADS chapter are the official Agency policies and corresponding procedures.

102.3.1   USAID Organization Structure

The USAID organization structure provides the foundation for USAID to effectively and efficiently achieve its goals of providing humanitarian and transition assistance, promoting sustainable development abroad, responding to natural and man-made disasters, and addressing key global problems. The Agency's organization structure and organization units must reflect and directly support the Agency's five core values -- managing for results, customer focus, teamwork and participation, empowerment and accountability, and valuing diversity -- as well as the following general organizing principles:

   a.   Flattening: Agency organizations must have as few organizational layers as practicable and a minimum of reporting, supervisory, and clearance levels;

b.   Simplification: Agency organizations must avoid unnecessary complexity in designing organization units;

c.   Teamwork and Teams: Agency managers are responsible for determining when a **parallel team** is the appropriate structure to **staff** a particular work task. All Agency organization units are required to operate according to principles of teamwork; and

d.   Participation: While the authority and scope of these directives are limited to the boundaries of USAID, Agency organization units should make an effort to build and use expanded teams and virtual **team** membership consisting of relevant development **partners**, key **stakeholders** and major USAID customer representatives to ensure their participation and contribution to Agency goals and objectives.

Management of Organizations

In accordance with Agency policy, the following principles of organization management must be used to manage USAID organizations:

a.   Results Focus: Agency organizations must enable USAID staff to manage in order to achieve identified results in the most effective and efficient manner possible. Managers should ensure that functions are clearly and completely defined.

b.   Responsibility and Authority: Responsibility should be assigned to the lowest organization level at which it can be effectively discharged, and authority must be delegated consistent with assigned responsibility. Lines of authority and assignments of responsibility are to be clearly delineated.

c.   Integration: To improve the ability of the Agency to address development challenges in a more collaborative and cost-effective manner, managers are encouraged to use matrix management techniques, such as expanded SO teams, to obtain the personnel resources and expertise from across USAID Bureaus, Offices, and Missions needed for specific projects.

d.   Workloads must be equitably distributed.

e.   Functions, responsibilities, and resources must be combined to form the fewest number of components practicable. When operational requirements and staffing levels justify dividing an organization, the minimum number of sub-elements is two.

f.   Home Base: All personnel must have a "**home base**" in a formal organization unit.

      g.   **Subdivision of Organizations:** Organizations may be subdivided formally or informally.

102.3.1.1   USAID/Washington

*All USAID/Washington organizations must use the following standard nomenclature except when designations are prescribed by legislation or other directive. Comparison by organization level does not imply comparability with respect to size, scope, or importance of components among different Bureaus and Independent Offices. The standard organization title and principal officer nomenclature and the level or sequence of their use within a Bureau or Independent Office has relative meaning only within that particular Bureau or Independent Office. Level I organizations report directly to the Administrator.

Organization Title:	Principal Officer Title:	Level:
Bureau	Assistant Administrator	I
Office	Director/Deputy Assistant Administrator	II
Center	Deputy Assistant Administrator/Director	II
Division	Chief/Director	III
Branch	Chief	IV
Team*	Leader	II & below
Staff	Chief/Director	II & below

Organization Title:	Principal Officer Title:	Level:
Independent Office	Director	I
Division	Chief/Director	II
Staff	Chief/Director	II
Branch	Chief	III
Team*	Leader	II and below

* May be either aligned or parallel and may be self-directed (reporting to the responsible officer at the next higher level) or have a **team leader**.

102.3.1.2   Overseas Organizations

Overseas organizations are categorized as shown below. Descriptions of each type of overseas organization are found in ADS 101.3.2. **(See ADS 101.3.2)**

*   **a.**   Category 1: USAID Bilateral Country Missions

*   **b.**   Category 2: Multi-Country Programs

        c.   Category 3: Development Assistance, Coordination and Representation Offices or Humanitarian Assistance Coordinator

        d.   Category 4: Field Offices of the Inspector General

Overseas organizations must use the following standard nomenclature except when designations are prescribed by legislation or other directive.

Category:	Organization Title:	Officer Title:
1	USAID **Small Mission**	Mission Director
1	USAID **Medium Mission**	Mission Director
1	USAID **Full Mission**	Mission Director
1	USAID **Full Support Mission**	Mission Director
2	Varies	Mission Director
3	Varies	Director
4	Audit Office	Regional Inspector General for Audit
4	Investigations Field Office	Special Agent in Charge

The following standard nomenclature must be used to identify levels within overseas organizations. Comparison by organization level does not imply comparability with respect to size, scope, or importance of components among different Missions.

        a.   The first subdivision of a Mission is an Office, the next subdivision is a Division, then **Branch**. Teams can exist at every subdivision level.

        b.   Teams may be either aligned or parallel and may be self-directed (reporting to the responsible officer at the next higher level) or have a team leader.

102.3.2   Organization Size

The size of organizations within USAID must be consistent with effective management and performance of the unit. Each unit is therefore required to employ the most effective supervisor-to-worker ratio based on the following:

a.   The effort required to direct and channel the work of the unit and to coordinate and align work with other units and individuals;

b.   The nature of tasks performed;

c.   The interrelationships of positions within the component;

d.   The interrelationships of the unit with individuals outside the organization;

e.   The skill levels of the personnel within the unit; and

f.   The physical environment.

Note that five or more positions subordinate to the chief are required to establish an organization unit. **(See also 102.3.9 for the minimum requirements needed to establish supervisory positions.)** Non-direct-hire employees who enjoy an employer-employee relationship with USAID, such as Participating Agency Services Agreements (PASAs), Resources Support Services Agreements (RSSAs), and personal services **contractors**, are included when determining organization size.

102.3.3   Use of Teams and Teamwork Within USAID

USAID's organizations are built around teamwork as an important mechanism for integration and participation. By enabling various specialties within a Mission, Bureau, or Independent Office to work together, and by supporting **partnerships** between field and Washington-based experts, the Agency is better able to identify and agree upon objectives, stretch limited resources, and bring maximum expertise to problems.

*Managers are responsible for examining the type of work required and the nature of the desired result when considering a team-based management approach, whether aligned or parallel teams are used. Although the current Agency organization emphasizes teamwork, a team structure may not always be the most effective means of achieving work objectives. It is the responsibility of managers to determine the optimum organization structure that most effectively accomplishes the mission of the organization and the Agency.

Strategic Objective (SO) Teams are formed to achieve a set of results or strategic objectives. SO core teams include full- or part-time members drawn from throughout USAID to provide the relevant expertise needed to achieve the desired results/objectives. SO expanded teams may be formed to include other relevant U.S. Government employees and partners, key stakeholders, and major USAID customer representatives. Sub-SO teams may be formed as needed, and typically exist as parallel teams. **(See ADS Chapter 200 for more detailed policy and procedures on SO teams)** Teams may also be formed based around their strategic objectives and exist as aligned teams, therefore becoming formal organization units and replacing technical organizations. **(See Glossary, aligned team)** These teams have full-time

members whose home base is within the SO team and organization heads with full supervisory authority.

At USAID, teams are built, to the greatest extent possible, using the following characteristics to ensure their effectiveness:

a.   Results-Orientation: Teams are formed around shared and understood goals and objectives. Goals are cooperatively structured to enable the best possible match between individual goals and team goals.

b.   Empowerment: Teams are given the authority, responsibility, and resources necessary to achieve objectives and make effective decisions. Participation and leadership in parallel teams are distributed among group members; authority is equalized and shared.

c.   Mutual Accountability: Team members hold themselves accountable for the team's goals and for performance and results.

d.   Customer-Orientation: Team goals/objectives are set with a focus on customers.

e.   Multi-functionality: Complementary skills and multi-functional membership are emphasized by drawing parallel team members, with the knowledge, skills, and expertise to respond to customer needs and achieve desired results, from across functions.

f.   Information Sharing: Open and accurate expression is emphasized. Information must be shared in a transparent manner.

g.   Incentives: Incentives and awards are used to reward team accomplishments, as well as individual initiatives. Members are held accountable for their performance and receive constructive feedback. Risk taking is encouraged.

h.   Self-Management: Parallel teams internally solve normal management problems, for example, distribution of work, interpersonal conflicts, employee absences, performance issues, discipline, etc. Roles and responsibilities are clearly defined.

i.   Performance Measures: Teams must have a means of assessing progress toward achievement of objectives and identifying reasons for failure or delinquency.

*102.3.3.1   Team Size

When forming teams, USAID organizations must attempt to build core teams with a size range of 5 to 10 members (the generally accepted size range for efficient and effective teams). Aligned teams must still meet organization size requirements. **(See ADS 101.3.2)**

*102.3.3.2   Roles of Team Leaders

Parallel team leaders must develop and utilize skills in facilitation, effective communication, coordination, negotiation, consensus-building, problem solving, and other areas of interpersonal behavior. Typical duties of Team Leaders include but are not limited to

- Managing the effective functioning of the team,

- Coordinating assessments of team performance,

- Arranging for team training for team members,

- Balancing workload and tasks among team members,

- Recommending personnel adjustments,

- Recognizing outstanding performance of team members, and

- Providing expert advice on specific tasks.

Team leaders of aligned teams serve as full supervisors in addition to utilizing many of the above skills. Their titles typically contain the word "Supervisory."

*102.3.3.3   Role of Managers and Supervisors in a Team Environment

Managers, supervisors, and team leaders are responsible for creating an atmosphere that values teamwork and motivates employees to perform as team members. Organization units must establish mechanisms to clarify the roles of and resolve disagreements between team leaders and supervisors regarding prioritization of work assignments for parallel team members serving in different and/or multiple organization units.

102.3.4   Organization Titles and Abbreviations

Each USAID organization unit must be assigned a unique title and abbreviation to be entered into the Agency's automated systems.

*The following guidelines apply to the construction of all organization titles:

a. The total number of letters, spaces, and punctuation in an organization title must not exceed 75.

b. The official Agency title of an organization is the full title as it appears in the functional statement. **(See ADS 101)**

Standard organization abbreviations (office symbols) are used as a shorthand reference to organization units. These abbreviations are developed only for established organization units. The following guidelines apply to the construction of these abbreviations:

* **a.** The abbreviation is limited to 30 characters including letters, spaces, and slashes.

b. The first segment identifies the major organization. The initials "AA" are used only to indicate the immediate office of an Assistant Administrator.

c. Subsequent segments are used, as necessary, to identify subordinate organizations, with each segment separated by forward slashes.

102.3.5   Organization Numbers (ORGNO)

*The organization number is a unique 18-digit identifier assigned to each organization unit, divided into 8 levels. These levels are defined as follows:

a. **Level 1** is always "AM" - this identifies USAID in the automated personnel database.

b. **Level 2** identifies whether the organization is Washington-based or overseas: 10 = Washington; 20 = overseas.

c. **Level 3** is a unique two-digit character that identifies each Bureau/Independent Office.

d. **Level 4** consists of four digits and identifies the **Office**/**Center** (Washington) or the country (overseas). If overseas, the first three digits are the country code. The last digit is either 0 (default), 1 (REDSO), or 2 (Regional Finance/RIG).

e. **Level 5** (two digits) identifies the next subordinate level (Division/Office).

f. **Level 6** (two digits) identifies the next subordinate level (Branch/Team).

g. **Level 7** is 00.

h. **Level 8** is also 00.

Note that a team can occur at any level below level 4.

*102.3.6   Master Record Numbers

*The Master Record Number is a six-digit character assigned by M/HR/PPIM/IM after classification of the position by M/HR/POD. It is created as follows:

- The first digit signifies the pay plan for the position. The following codes apply:

  F = FE or FS
  G = GS or GM
  S = ES
  E = EX
  X = EC, ED, EF, or EH
  A = AD
   I = IP

- The second through sixth digits are sequential counters for each type of pay plan.

*102.3.7   Individual Position Numbers (IP Numbers)

*Individual position numbers are unique eight-character numbers assigned to each position by the Administrative Management Staff (AMS) in each Bureau/Independent Office prior to submission to M/HR. The numbers serve as unique counters within each Bureau/Independent Office. Each Bureau/Independent Office is assigned a range of numbers to be used for new positions as they are created.

102.3.8   Deputy Positions

In accordance with the Agency focus on flattening organization units and empowering employees, serious consideration will be given to the need for **deputy** positions, both in Washington and overseas.

***Within USAID/W**, organizations at Levels II, III, and IV are not authorized deputy positions. **(See 102.3.1.1)** However, an exception may be considered in cases where an organization demonstrates to M/HR/PPIM that a deputy is required based on organization size and functions, program size and complexity, and to perform specific functional responsibilities, rather than serving as an alter ego.

Overseas, a Deputy Mission Director's responsibilities relate primarily to the management of internal Mission operations. Missions that do not qualify for full-time deputies are permitted to designate one or two senior U.S. direct-hire officers as

"assistant director(s)" of the Mission. This role is in addition to the officer's regular line responsibilities and will not affect the position's title. The "assistant director" assists the Mission Director with the internal operations of the Mission on an as-needed basis, while maintaining primary responsibility in a specific area of expertise. These positions will not be considered senior management group (SMG) positions.

To determine the need for Deputy Director positions, use the following guidance:

*   **a.**   In USAID/Washington, all originating offices must send a memorandum requesting a deputy position to M/HR/PPIM for approval.

     b.   Full USAID Missions having 9 or more U.S. Direct-Hire (USDH) staff and full support Missions having 16 or more USDH must cite Mission management burdens (e.g., complexity of the program, representational responsibilities of the principal officer, or regional support responsibilities) in a memorandum to M/HR/PPIM requesting approval for a Deputy position.

     c.   Small and medium Missions are not authorized a Deputy Director position. However, an exception may be granted in cases where the Mission can demonstrate to M/HR/PPIM that a deputy is required based on the size and complexity of the program and to perform specific functional responsibilities rather than serving as an alter ego.

102.3.9   Supervisory Duties

Supervisors actively manage human and financial resources; develop and utilize leadership, facilitation, and coaching skills; and empower staff to accomplish work. Other specific supervisory duties include but are not limited to

- Selecting or participating with considerable weight in the selection of subordinate employees;

- Evaluating employee performance;

- Reviewing and approving leave requests;

- Hearing and resolving complaints and grievances; and

- Effecting disciplinary measures.

A position warrants classification and titling as "Supervisory" when it meets at least the minimum requirements for coverage under the General Schedule Supervisory Guide (available at **http://www.opm.gov/**). The full range of supervisory duties is only assigned to positions classified and titled as "Supervisory." **(See also 102.3.2 for the minimum number of positions required to establish an organization unit.)**

Non-supervisory employees, such as team leaders of parallel teams or senior specialists, may have some oversight responsibility for the technical products of others and provide valuable input to the **supervisor** regarding the performance of subordinate members of their work unit. They may serve as acting supervisors, and during brief absences of the supervisor, may assume responsibility for approving emergency or unplanned leave requests and addressing matters that cannot wait for the supervisor's return. Such duties, however, are not routinely assigned.

102.3.10 Organization Changes

a. Organization changes must be initiated by the Administrator, Bureau Assistant Administrators, heads of Independent Offices, or Mission Directors. The AA/M and M/HR/PPIM may also initiate changes as a function of the Agency's organization management program.

*b. Organization changes involving major functional transfers between Bureaus/Independent Offices and changes that establish/eliminate an organization reporting directly to the Administrator must be approved by the Administrator. The Administrator must also approve the establishment of new Missions.

c. Organization changes of USAID/Washington organization units that impact other Agency offices must be approved by the AA/M.

d. For organization changes at levels II, III, and IV in USAID/Washington and within overseas Missions, consultation with M/HR/PPIM is required **(See 102.2 paragraph k)**, but approval is not required except as specified in paragraphs b and c above. After Bureau Assistant Administrator approval, M/HR/PPIM reviews and authorizes all organization change documentation before forwarding to M/HR/POD for implementation. **(See 102.3.10 paragraph h and 102.2 paragraph e)**

*e. The originating Office must submit all requests for organization changes through the appropriate AMS, to the Office of Equal Employment Programs (EOP) for review and clearance prior to submission to M/HR/PPIM. The EOP will work with the Bureau/Independent Office AMS to resolve any issues that may be raised prior to sending the package to M/HR/PPIM.

f. OMB Circular A-76 must be used to determine whether commercial activities or functions may be performed by contract or in-house using Government facilities and personnel. When considering the establishment of a new commercial activity or the expansion of an existing commercial activity, managers must determine the applicability of Circular A-76. If an organization change establishes new or expanded commercial activities subject to Circular A-76 procedures, the organization unit must include a statement indicating the change in the organization change documentation. M/HR/PPIM analysts also assess the implications of Circular A-76. **(See Mandatory Reference, OMB Circular A-76)**

g.   In USAID/Washington, to ensure that the Agency properly discharges its responsibilities in compliance with Federal labor relations policies, it is essential that no office take action to announce or effect an organization change, even on a preliminary basis, until formal notification is received from the Bureau for Management (M/HR) that the Agency has met its obligations to certified employee bargaining units.

*h.   The initiating organization unit must submit the required documentation to reflect organization changes in the official Agency Staffing Pattern and the Automated Directives System (ADS), after approval by their Assistant Administrator, review by their AMS, and clearance by EOP, to M/HR/PPIM within 30 days. Functional statements, organization titles, and organization numbers become the official structure and statement of responsibilities for an organization and are published in the ADS and the Agency automated personnel system.

The documentation for all organizational changes consists of the following:

> **(1)**   Current and proposed functional statements, including in electronic format;

> **(2)**   Current and proposed organization charts reflecting each position, including in electronic format;

> **(3)**   Current and proposed staffing patterns;

> **(4)**   Any new position descriptions required;

> **(5)**   SF-52's, Requests for Personnel Action (for both realignments and reassignments, as necessary), as well as the necessary crosswalks;

> *   **(6)**   A cost analysis supporting the recommended realignment and the resulting workforce realignment showing the increases or decreases for the proposed organization; and

> **(7)**   Action Memorandum providing justification for requested changes.

*i.   For organization name change requests where no reorganization results, the requesting office must only submit the functional statements and justification memorandum containing the appropriate information indicating approval by the appropriate Assistant Administrator/Independent Office Chief. The documentation must be submitted to M/HR/PPIM as indicated above. The same procedure applies to changes/updates in functional statements, with no organizational name change and no resulting reorganization.   The requesting office must only submit the new functional statement and a justification memorandum indicating approval by the Assistant Administrator/Independent Office chief.

*Cost Analysis

All reorganizations require a cost analysis that supports the recommended realignment and the resulting workforce adjustments. This analysis must show the cost increases and decreases for the recommended reorganization. The cost analysis must include the following:

- All labor costs, including personnel costs/savings. Include salaries and benefits (basic salary, benefit percentages, and costs/savings accrued from deleted positions) as well as other personnel-related costs (necessary training/re-training, severance pay).

- Facilities costs/savings associated with modifying current space, modifying/constructing proposed facilities, and moving to new space, etc.

- Equipment costs for additional equipment and office automation/communications equipment, including personal computers, communication lines, computer terminals, and fax machines.

- Other miscellaneous costs not already included above.

*102.3.11   Establishing New Missions

*When a determination is made that a new Mission is needed, the appropriate Bureau requesting authorization to establish a new Mission must develop a written proposal/justification. This must include a discussion of the total staff (both USDH and non-USDH) that will be needed, the type of programs to be undertaken and the budget for those programs, the overall size of the Mission, and any bilateral agreements that need to be negotiated. The Assistant Administrator of the Bureau must approve the proposal. Once that approval is obtained, the proposal must then be sent to the Administrator for final approval. After approval by the Administrator, the Bureau Assistant Administrator must request any required positions or additional employment ceiling from M/B.

*Department of State Approval

*Once the USAID Administrator has approved the establishment of a new Mission, NSDD-38 requires USAID to transmit the approved proposal to the appropriate Ambassador/Chief of Mission of the country in which the Mission is to be located, in consultation with the Department of State. The NSDD-38 process requires the Agency to address such issues as the workforce requirements (both USDH and non-USDH) needed to staff the Mission, security, office and/or warehouse space, housing, International Cooperative Administrative Support Service (ICASS) and other available support services, etc. **(See Mandatory Reference, NSDD-38)**

*Required Documentation

*Once approval from the appropriate Ambassador/Chief of Mission has been received, the Bureau must prepare the necessary paperwork to establish the new Mission. The following documents must be sent to M/HR/PPIM, through the Bureau's AMS officer and after clearance by EOP:

> **a.** Action memorandum indicating approval of the new organization by both the Assistant Administrator of the Bureau and the USAID Administrator (approval from Department of State and the appropriate Ambassador/Chief of Mission must also be attached);
>
> **b.** Proposed functional statement;
>
> **c.** Proposed organization chart;
>
> **d.** Proposed staffing pattern (including both USDH and non-USDH);
>
> **e.** Cost analysis; and
>
> **f.** SF-52's and accompanying position descriptions for all direct-hire staff being assigned to the new Mission.

After the appropriate reviews and authorizations have been obtained from M/HR/PPIM, and the appropriate review by the unions is completed, the package will be forwarded to M/HR/POD, where the USDH positions required will be classified, processed, and input into the automated personnel system.

102.4   MANDATORY REFERENCES

102.4.1   External Mandatory References

a.   National Security Decision Directive 38 (NSDD-38), "Staffing at Diplomatic Missions and Their Constituent Posts," June 2, 1982

b.   Office of Management and Budget (OMB) Circular A-76 (revised), "Performance of Commercial Activities," August 4, 1983

102.4.2   Internal Mandatory References

a.   ADS Chapter 103, "Delegations of Authority"

b.   ADS Chapter 202, "Managing for Results: Achieving"

c.   Agency Reorganization Plan, October 1, 1993.

d. **Operations Business Area Analysis Core Report, November 28, 1994.**

102.5 **ADDITIONAL HELP**

102.6 **DEFINITIONS (See ADS Glossary [Word](#) | [PDF](#) | [HTML](#))**

*aligned team
A team that is established as part of the existing organization structure, e.g., a Strategic Objective core team that replaces a technical office within an operating unit. (See also parallel team.) An aligned team is an organization unit (See definition for organization unit) and the team leader of an aligned team is a full supervisor, with full supervisory authorities and responsibilities. (Chapter 102)

branch
An organization unit below the Division level; a Level III or below organization. Branches are established when operating requirements, functional concerns, and/or staffing levels justify dividing a Division into sub-elements. (Chapter 102)

bureau
A major organization unit of the Agency that is responsible to the Office of the Administrator; a Level I organization. A bureau administers complex and diverse programs involving a designated geographic area; major policy, program and technical advisory services; or management and program support functions. **(See [3 FAM 4412](#))** (Chapters 102, 486)

center
An organization unit within an AID/W bureau; a Level II or below organization. A center provides leadership and strategic and programmatic direction within a specific technical area. (Chapter 102)

*contractor
A non-government organization or individual acting as an agent of USAID and carrying out a scope of work specified by USAID. (Chapter 102)

customer
Those host country individuals, especially the socially and economically disadvantaged, who are beneficiaries of USAID assistance and whose participation is essential to achieving sustainable development results. (Chapters 101, 102)

*deputy
A position that serves as an alter ego to a high level manager. A deputy either shares equally with the manager in the direction of all phases of the organization's program and work or is assigned continuing responsibility for managing a major part of the manager's program when the total authority and responsibility for the organization is equally divided between the manager and the deputy. This excludes positions informally referred to as "deputies" that require expertise in management subjects but do not

include responsibility for directing either the full organization or an equal half of the total organization. (Chapter 102)

division
An organization unit below the Office or staff level; a Level II or below organization. Divisions are established when operating requirements, functional concerns, and/or staffing levels justify dividing an Office or staff into sub-elements. (Chapter 102)

full mission
Full missions conduct USAID's major programs worldwide and manage a program of four or more strategic goal areas. Full missions usually consist of 9-15 U.S. Direct-Hire employees, including typically two senior managers and a full complement of program, technical, and administrative staff. (Chapter 102)

full support mission
Also known as "regional hubs," full support missions have designated and clear responsibilities for providing support to small and medium missions in addition to managing their own bilateral program of four or more strategic goal areas. Typically, a full support mission consists of 16-22 U.S. Direct-Hire employees and provides contract, legal, and financial management support to its in-country program as well as designated small and medium missions. It will only be located in countries where there is a large USAID in-country program to manage. (Chapter 102)

home base
An organization unit where an employee is assigned for purposes of supervision, usually in accordance with the employee's primary functional role. An aligned team will usually serve as the home base for employees assigned on a full-time basis to that team. (Chapter 102)

independent office
A major organization unit of the Agency that reports to the Office of the Administrator; a Level I organization. An independent office is responsible for significant Agency-wide program or staff functions. (Chapter 102)

medium mission
Medium missions conduct USAID's major programs within two to three strategic goal areas and are managed by a technical/program management staff. Typically, a medium mission consists of five to eight U.S. Direct-Hire employees and tends to rely on regional hubs, full missions, or USAID/W for program and Program Development Officer support and on International Cooperative Administrative Support Service (ICASS) or regional hubs for administrative support. (Chapter 102)

multi-country mission
Multi-country missions are established to either administer USAID programs and services involving several overseas countries, including an in-country program, or to only provide regional services to other overseas organizations. (Chapter 102)

office
An organization unit within a bureau or mission; a Level II or below organization. An office is responsible for the conduct or management of a program and/or activities that constitute the line function of an organization. (Chapters 102, 501)

organization change
Any action which in any way alters the scope, structure, title, and/or purpose of an existing organization. (Chapter 102)

organization unit
An official, identifiable work unit within USAID that is recognized by a unique title, abbreviation, and code number. (Chapter 102)

*parallel team
A team that exists concurrently with the existing organization structure. Examples include a Strategic Objective (SO) Team that exists alongside technical offices and a team established for a special task with crosscutting membership drawn from existing offices. Team Leaders of parallel teams do not serve as full supervisors over team members but do provide input to the formal supervisor for performance evaluations of team members. (See also aligned team) (Chapter 102)

partner
An organization, individual, or customer representative with which/whom the Agency collaborates to achieve mutually agreed upon objectives and intermediate results and to secure customer participation. Partners include: host country governments, private voluntary organizations, indigenous and international non-governmental organizations, universities, other U.S. government agencies, United Nations and other multilateral organizations, professional and business associations, and private businesses/individuals. (Chapters 101, 102, 201, 202, 203)

partnership
An association between USAID, its partners, and customers based on mutual respect, complementary strengths, and shared commitment to achieve mutually agreed upon objectives. (Chapters 101, 102, 201, 202, 203)

small mission
Small missions manage start-up, ongoing, or terminating programs that are limited in size and breadth to one or two strategic goal areas. Typically, these missions are staffed by a senior manager and one or more technical/program managers, with one to four U.S. Direct-Hire employees. Small missions engage directly with host governments in planning and overseeing U.S. assistance programs and rely on USAID/W, full missions, or regional hubs for technical, program, and administrative support services. (Chapter 102)

staff
An organization unit within a Bureau, Independent Office or Mission; a Level II or below organization. A staff is responsible for carrying out functions or activities that are supportive to the effective functioning of a line organization. (Chapter 102)

stakeholders
Those individuals and/or groups who exercise some type of authority over USAID resources such as Congress, OMB, Department of State, and those who influence the political process, e.g., interest groups and taxpayers. (Chapter 102)

*****supervisor**
An employee that is responsible for the "direction" of subordinates within his/her organization unit and whose supervisory responsibilities meet at least the minimum requirements for coverage under the General Schedule Supervisory Guide. Those directed may be subordinate Federal civil service employees; assigned military employees; non-Federal workers; unpaid volunteers; student trainees; or others. Supervisors serve as coaches that empower staff to accomplish work. Traditional supervisory duties include evaluating employee performance; selecting or participating with considerable weight in the selection of subordinate employees; reviewing and approving leave requests; hearing and resolving complaints and grievances; and effecting disciplinary measures. (Chapter 102)

team
A group of individuals coming together through consensus to achieve agreed upon objectives or results. Teams may be comprised of employees of USAID and/or other Federal agencies, partners, customers, and contractors. A team may or may not exist as an official organization unit. When serving as an organization unit, it functions within a Bureau, Independent Office, or Mission, as a Level II or below organization. (Chapter 102)

team leader
Team Leaders of parallel teams ensure that the work of their team is carried out by performing a range of coordinating and supportive duties and responsibilities. To be effective, Team Leaders must use a variety of skills in facilitation, communication, coordination, negotiation, consensus building, problem solving, and other areas of interpersonal behavior. Team Leaders of aligned teams serve as full supervisors of these organization units and are usually titled as supervisory. (Chapter 102)

teamwork
The process whereby a group of people work together (often by dividing tasks among members based on relative skills) to reach a common goal, to solve a particular problem, or to achieve a specified set of results. (Chapter 102)

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